


Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 01997-274002	Application No. 09/397,432
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant Moungi G. Bawendi et al.	
		Filing Date September 17, 1999	Group Art Unit 1627

U.S. Patent Documents							
Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
met	AA	3,996,345	12/07/1976	Ullman et al.	424	12	3
	AB	4,637,988	01/20/1987	Hinshaw et al.	436	546	
	AC	4,777,128	10/11/1988	Lippa	435	5	
	AD	5,262,357	11/16/1993	Alivisatos et al.	437	233	
	AE	5,293,050	03/08/1994	Chapple-Sokol et al.	257	17	
	AF	5,354,707	10/11/1994	Chapple-Sokol et al.	437	106	
	AG	5,395,791	03/07/1995	Cheng et al.	437	105	
	AH	5,422,489	06/06/1995	Bhargava	250	488.1	
	AI	5,492,080	02/20/1996	Ohkawa et al.	117	108	
	AJ	5,499,260	03/12/1996	Takahashi et al.	372	46	
	AK	5,515,393	05/07/1996	Okuyama et al.	372	45	
	AL	5,525,377	06/11/1996	Gallagher et al.	427	512	
	AM	5,537,000	07/16/1996	Alivisatos et al.	313	506	
	AN	5,541,948	07/30/1996	Krupke et al.	372	41	
	AO	5,585,640	12/17/1996	Huston et al.	250	483.1	
	AP	5,674,698	10/07/1997	Zarling et al.	435	7.92	
	AQ	5,736,330	04/07/1998	Fulton	435	6	
✓	AR	5,747,180	05/05/1998	Miller et al.	428	601	
	AS	5,985,353	11/16/1999	Lawton et al.	427	2.13	
met	AT	6,114,038	09/05/2000	Castro et al.	428	402.24	


Foreign Patent Documents or Published Foreign Patent Applications								
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
met	AU	WO 98/19963	05/14/1998	PCT	<del>          </del>	<del>          </del>	<del>          </del>	<del>          </del>
	AV	WO 98/33070	07/30/1998	PCT				
↓	AW	WO 99/19515	04/22/1999	PCT				
met	AX	WO 00/27365	05/18/2000	PCT				

Examiner Signature 	Date Considered <u>12/21/05</u>
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 01997-274002	Application No. 09/397,432
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant Moungi G. Bawendi et al.	
		Filing Date September 17, 1999	Group Art Unit 1627


Foreign Patent Documents or Published Foreign Patent Applications								
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
MC	BA	WO 00/27436	05/18/2000	PCT				
MC	BB	WO 00/28088	05/18/2000	PCT				
MC	BC	WO 00/28089	05/18/2000	PCT				

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
MC	BD	Alivisatos et al., "Semiconductor Clusters, Nanocrystals, and Quantum Dots," <i>Science</i> , 271:933-937, February 16, 1996
	BE	Alivisatos et al., "Organization of 'nanocrystal molecules' using DNA," <i>Nature</i> , 382:609-611, August 15, 1996
	BF	Bawendi et al., "Luminescence properties of CdSe quantum crystallites: resonance between interior and surface localized states," <i>J. Chem. Phys.</i> , 96(2):946-954, January 15, 1992
	BG	Beverloo et al., "Preparation and Microscopic Visualization of Multicolor Luminescent Immunophosphors," <i>Cytometry</i> , 13:561-570, 1992
	BH	Bruchez et al., "Semiconductor nanocrystals as fluorescent probes for biology," <i>Cytometry</i> , Supplement 9, p. 26, March, 1998
	BI	Bruchez et al., "Luminescent Semiconductor Nanocrystals: Intermittent Behavior and Use as Fluorescent Biological Probes," Doctoral Dissertation, University of California, July 13, 1998
	BJ	Colvin et al., "Light-emitting diodes made from cadmium selenide nanocrystals and a semiconducting polymer" <i>Nature</i> , 370(6488):354-357, August 4, 1994
	BK	Cook, "Scintillation proximity assay: a versatile high-throughput screening technology," <i>Drug Discovery Today</i> , 1:287-294, July 1996
	BL	Correa-Duarte et al., "Stabilization of CdS semiconductor nanoparticles against photodegradation by silica coating procedure," <i>Chem. Phys. Lett.</i> , 286:497-501, April 17, 1998
	BM	Dabbousi et al., "Electroluminescence from CdSe quantum-dot/polymer composites" <i>Appl. Phys. Lett.</i> , 66(11):1316-1318, March 13, 1995
	BN	Fox et al., "Fluorescence and Redox Activity of Probes Anchored through an Aminoethiol to Polycrystalline Gold" <i>Langmuir</i> , 14:816-820, 1998
	BO	Gan et al., "Enhanced Photoluminescence and Characterization of Mn-Doped ZnS Nanocrystallites Synthesized in Microemulsion" <i>Langmuir</i> , 13:6427-6431, 1997
	BP	Gao et al., "Strongly Photoluminescent CdTe Nanocrystals by Proper Surface Modification," <i>J. Phys. Chem.</i> , 102:8360-8363, 1998
	BQ	Guha et al., "Hybrid organic-inorganic semiconductor-based light-emitting diodes" <i>J. Appl. Phys.</i> , 82(8):4126-4128, October 15, 1997
	BR	Jarvis et al., "Solution Synthesis and Photoluminescence Studies of Small Crystallites of Cadmium Telluride," <i>Mater. Res. Soc. Symp. Proc.</i> , 272:229-234, 1992
✓	BS	Kagan et al., "Electronic Energy Transfer in CdSe Quantum Dot Solids," <i>Physical Review Letters</i> , 76(9):1517-1520, 1996
MC	BT	Kagan et al., "Long-range resonance transfer of electronic excitations in close-packed CdSe quantum-dot solids," <i>Physical Review B</i> , 54(12):8633-8643, September 15, 1996-II

Examiner Signature 	Date Considered 12/21/05
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 01997-274002	Application No. 09/397,432
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant Moungi G. Bawendi et al.	
		Filing Date September 17, 1999	Group Art Unit 1627

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
MC	CA	Lawless et al., "Bifunctional Capping of CdS Nanoparticles and Bridging to TiO <sub>2</sub> ," <i>J. Phys. Chem.</i> , 99:10329-10335, 1995
	CB	Lee et al., "Surface Derivatization of Nanocrystalline CdSe Semiconductors," <i>Mat. Res. Soc. Symp. Proc.</i> , 452:323-328, 1997
	CC	Liz-Marzan et al., "Synthesis of Nanosized Gold-Silica Core-Shell Particles" <i>Langmuir</i> , 12(18):4329-4335, 1996
	CD	Mahtab et al., "Protein-Sized Quantum Dot Luminescence Can Distinguish between 'Straight', 'Bent', and 'Kinked' Oligonucleotides", <i>J. Am. Chem. Soc.</i> , 117:9099-9100, 1995
	CE	Mahtab et al., "Preferential-absorption of a 'kinked' DNA to a newtral curved surface: comparison to and implications for nonspecific DNA-protein interactions," <i>J. Am. Chem. Soc.</i> , 118:7028-7032, 1996
	CF	Mikulec et al., "Synthesis and Characterization of Highly Luminescent (CdSe)ZnS Quantum Dots," <i>Materials Research Society Symposium</i> , 452:359-364, 1997
	CG	Müllenborn et al., "Characterization of Solution-Synthesized CdTe and HgTe," <i>Applied Physics</i> , 56:317-321, 1993
	CH	Murphy et al., "Quantum dots as inorganic DNA-binding proteins," <i>Mat. Res. Soc. Symp.</i> , 452:597-600, 1997
	CI	Pehnt et al., "Nanoparticle Precursor Route to Low-Temperature Spray Deposition of CdTe Thin Films," <i>Appl. Phys. Lett.</i> , 67(15):2176-2178, 1995
	CJ	Peng et al., "Epitaxial Growth of Highly Luminescent CdSe/CdS Core/Shell Nanocrystals with Photostability and Electronic Accessibility," <i>J. Am. Chem. Soc.</i> , 119:7019-7029, 1997
	CK	Peng et al., "Synthesis and Isolation of a Homodimer of Cadmium Selenide Nanocrystals," <i>Angewandte Chemie</i> , 36:145-147, 1997
	CL	Rajh et al., "Synthesis and Characterization of Surface-Modified Colloidal CdTe Quantum Dots" <i>J. Phys. Chem.</i> , 97:11999-12003, Nov. 1993
	CM	Rogach et al., "Synthesis and characterization of Thiol-Stabilized CdTe Nanocrystals" <i>Ber. Bunsenges. Phys. Chem.</i> , 100(11):1772-2778, 1996
	CN	Schröck et al., "Multicolor Spectral Karyotyping of Human Chromosomes," <i>Science</i> , 273:494-497, July 26, 1996
	CO	Spanhel et al., "Photochemistry of Colloidal Semiconductors. Surface Modification and Stability of Strong Luminescing CdS Particles" <i>J. Am. Chem. Soc.</i> , 109(19):5649-5655, 1987
	CP	Steigerwald et al., "Surface Derivatization and Isolation of Semiconductor Cluster Molecules," <i>J. Am. Chem. Soc.</i> , 110:3046-3050, 1988
MC	CQ	Zhang et al., "Novel Flow Cytometry Compensation Standards: Internally Stained Fluorescent Microspheres With Matched Emission Spectra and Long-Term Stability," <i>Cytometry</i> , 33:244-248, October 1, 1998


Examiner Signature 	Date Considered 12/21/05
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 01997-274002	Application No. 09/397,432
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant Moungi G. Bawendi et al.	
		Filing Date September 17, 1999	Group Art Unit

U.S. Patent Documents							
Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
MC	AA	5,304,786	04/19/1994	Pavlidis et al.	235	462	
	AB	5,505,928	04/09/1996	Alivisatos et al.	423	299	
	AC	5,789,162	08/04/1998	Dower et al.	435	6	
	AD	5,565,324	10/15/1996	Still et al.	435	6	
	AE	5,625,456	04/29/1997	Lawandy	356	376	
	AF	5,721,099	02/24/1998	Still et al.	435	6	
	AG	5,770,299	06/23/1998	Dannenhauer et al.	428	195	
MC	AH	5,751,018	05/12/1998	Alivisatos et al.	257	64	

Foreign Patent Documents or Published Foreign Patent Applications								
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
MC	AI	WO 95/29473	11/02/1995	PCT				
	AJ	WO 98/04740	02/05/1998	PCT				
	AK	WO 98/36376	08/20/1998	PCT				
MC	AL	WO 98/46372	10/22/1998	PCT				

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
MC	AM	Kortan et al., "Nucleation and Growth of CdSe on ZnS Quantum Crystallite Seeds, and Vice Versa, In Inverse Micelle Media" <i>J. Am. Chem. Soc.</i> 112:1327-1332, 1990
	AN	Coffer et al., "Characterization of quantum-confined CdS Nanocrystallites stabilized by deoxyribonucleic acid (DNA)" <i>Nanotechnology</i> 3:69-76, 1992
	AO	Murray et al., "Synthesis and Characterization of Nearly Monodisperse CdE (E=S, Se, Te) Semiconductor Nanocrystallites" <i>J. Am. Chem. Soc.</i> 115(19):8706-8715, 1993
	AP	Whitesell et al., "Directionally Aligned Helical Peptides on Surfaces" <i>Science</i> 261:73-76, July 1993
	AQ	Moran et al., "Radio Frequency Tag Encoded Combinatorial Library Method for the Discovery of Tripeptide-Substituted Cinnamic Acid Inhibitors of the Protein Tyrosine Phosphatase PTP1B" <i>J. Am. Chem. Soc.</i> 117:10787-10788, 1995
	AR	Nicolaou et al., "Radiofrequency Encoded Combinatorial Chemistry" <i>Ingew. Chem. Int. Ed. Engl.</i> 34(20):2289-2291, 1995
MC	AS	Alivisatos, "Perspectives on the Physical Chemistry of Semiconductor Nanocrystals" <i>J. Phys. chem.</i> 1996(100):13226-13239, 1996

Examiner Signature 	Date Considered 12/21/05
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	


Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 01997-274002	Application No. 09/397,432
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant Moungi G. Bawendi et al.	
		Filing Date September 17, 1999	Group Art Unit

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
<i>ms</i>	BA	Danek et al., "Synthesis of Luminescent Thin-Film CdSe/ZnSe Quantum Dot Composites Using CdSe Quantum Dots Passivated with an Overlayer of ZnSe" <i>Chem. Mater.</i> 8(1):173-180, 1996
	BB	Matsumoto et al., "Preparation of Monodisperse CdS Nanocrystals by Size Selective Photocorrosion" <i>J. Phys. Chem.</i> 100(32):13781-13785, 1996
	BC	Hines et al., "Synthesis and Characterization of Strongly Luminescing ZnS-Capped CdSe Nanocrystals" <i>J. Phys. Chem.</i> 100:468-471, January 1996
	BD	McGall et al., "Light-directed synthesis of high-density oligonucleotide arrays using semiconductor photoresists" <i>Proc. Natl. Acad. Sci. USA</i> 93:13555-13560, November 1996
	BE	Chee et al., "Accessing Genetic Information with High-Density DNA Arrays" <i>Science</i> 274(5287):610-614, October 25, 1996
	BF	Empedocles et al., "Photoluminescence Spectroscopy of Single CdSe Nanocrystallite Quantum Dots" <i>Phys. Rev. Lett.</i> 77(18):3873-3876, October 1996
	BG	Nirmal et al., "Fluorescence Intermittency in single Cadmium Selenide Nanocrystals" <i>Nature</i> 383:802-804, October 1996
	BH	Egner et al., "Tagging in combinatorial chemistry: the use of coloured and fluorescent beads" <i>Chem. Commun.</i> 735-736, 1997
	BI	Empedocles et al., "Quantum-Confined Stark Effect in Single CdSe Nanocrystallite Quantum Dots" <i>Science</i> 278:2114-2117, December 1997
	BJ	Fodor, "Techwire" <i>Science</i> 277(5324):393-395, July 18, 1997
	BK	Kuno et al., "The band edge luminescence of surface modified CdSe nanocrystallites: Probing the luminescing state" <i>J. Chem. Phys.</i> 106(23):9869-9882, June 1997
	BL	Dabbousi, et al., "(CdSe)ZnS core-shell quantum dots: synthesis and characterization of a size series of highly luminescent nanocrystallites" <i>J. of Phys. Chem. B</i> 101(46):9463-9475, November 13, 1997
	BM	Michael et al., "Randomly Ordered Addressable High-Density Optical Sensor Arrays" <i>Analyt. Chem.</i> 70(7):1242-1248, April 1998
	BN	Winzeler et al., "Direct Allelic Variation Scanning of the Yeast Genome" <i>Science</i> 281:1194-1197, August 1998
	BO	Wang et al., "Large-Scale Identification, Mapping, and Genotyping of Single-Nucleotide Polymorphisms in the Human Genome" <i>Science</i> 280:1077-1082, May 1998
	BP	Mikulec et al., "Fluorescent semiconductor nanocrystallites derivatized with biomolecules" <i>Amer. Chem. Soc. Nat'l Meeting</i> , Boston, MA, August 24, 1998
	BQ	Service, "Semiconductor Beacons Light Up Cell Structures" <i>Science</i> 281:19930-1931, September 25, 1998
	BR	Jacoby, "Quantum dots meet biomolecules" <i>C&amp;E News</i> :8, September 28, 1998
	BS	Bruchez et al., "Semiconductor Nanocrystals as Fluorescent Biological Labels" <i>Science</i> 281:2013-2016, September 1998
	BT	Chan et al., "Quantum Dot Bioconjugates for Ultrasensitive Nonisotopic Detection" <i>Science</i> 281:2016-2018, September 1998
	BU	Wade, "In the Hunt for Useful Genes, a Lot Depends on "Snips"" :C1, C5 August 11, 1998
<i>ms</i>	BV	Lett, "Color-Coding Quantum Dots Debut with Promising Careers In Clinical Diagnostics Field" :1-2, September 25, 1998

Examiner Signature <i>[Signature]</i>	Date Considered <i>12/21/05</i>
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 01997-274002	Application No. 09/397,432
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant Moungi G. Bawendi et al.	
		Filing Date September 17, 1999	Group Art Unit

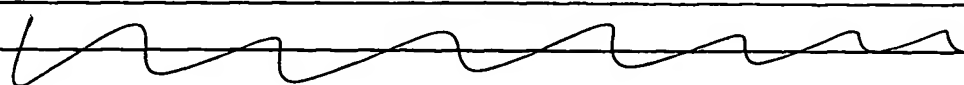
Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
MC	CA	Baldwin et al., "Synthesis of a Small Molecule Combinatorial Library Encoded with molecular Tags" <i>J. Am. Chem. Soc.</i> 117:5588-89, 1995
↓	CB	Czarnik, "Encoding methods for combinatorial chemistry" <i>Curr Opin Chem Biol.</i> 1(1):60-6, 1997
↓	CC	Plunkett et al., "Combinatorial chemistry and new drugs" <i>Sci Am</i> 276(4):68-73, 1997
MC	CD	Bawendi et al., Poster Presentation Entitled: "Fluorescent Semiconductor Nanocrystallites Derivatized With Biomolecules," Presented at the 216 <sup>th</sup> National Meeting of the American Chemical Society, August 23-27, 1998


Examiner Signature 	Date Considered 12/21/05
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)  <b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)  (37 CFR §1.98(b))	U.S. Department of Commerce Patent and Trademark Office		Attorney's Docket No. <b>01997-274002</b>	Application No. <b>09/397,432</b>
	Applicant <b>Moungi G. Bawendi et al.</b>			
	Filing Date <b>September 17, 1999</b>		Group Art Unit <b>1627</b>	

U.S. Patent Documents							
Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
<i>MC</i>	AA	6,309,701 B1	10/2001	Barbera-Guillem			
<i>MC</i>	AB	6,355,432 B1	3/2002	Fodor et al.			

Foreign Patent Documents or Published Foreign Patent Applications							
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation Yes No

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
	AC	
	AD	


Examiner Signature 	Date Considered <b>12/21/05</b>
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 01997-274004	Application No.
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary)		Applicant Bawendi et al.	
		Filing Date	Group Art Unit
(37 CFR §1.98(b))			

U.S. Patent Documents							
Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
MC	AA	5,308,804	05-1998	Lee			
MC	AB	5,625,456	04-1997	Lawandy			
MC	AC	5,990,479	11/23/99	Weiss et al.			
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
	AK						

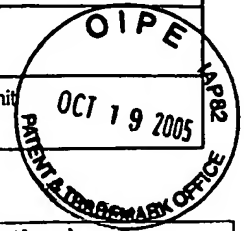
Foreign Patent Documents or Published Foreign Patent Applications								
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AL							
	AM							
	AN							
	AO							
	AP							

Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
MC	AQ	Danek et al. (1996) Chemistry of Materials 8: 173-180
MC	AR	Bawendi et al., Poster, Entitled "Fluorescent Semiconductor Nanocrystallites Derivatized With Biomolecules," Presented at the 216 <sup>th</sup> Meeting of the American Chemical Society Aug. 23-27, 1998.
	AS	<del>Sambrook et al., Molecular Cloning: A Laboratory Manual, Second Edition, Cold Spring Harbor Press, page 12.14</del> NO COPY
	AT	

Examiner Signature 	Date Considered 12/21/05
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	



Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 14952.0274 CIP DIV	Application No. 10/632,922
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant Moungi BAWENDI, et al.	
		Filing Date August 4, 2003	Group Art Unit 1639

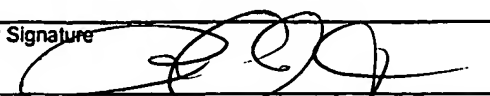


Other Documents (include Author, Title, Date, and Place of Publication)		
Examiner Initial	Desig. ID	Document
MS	AA	Ekimov, A.I., <i>et al.</i> , "Quantum Confined Atoms of Doped ZnO Nanocrystals," <i>Phys. Stat. Sol (b)</i> 229, No. 2, 897-901 (2002).
	AB	Ekimov, A.I. <i>et al.</i> , "Spin-flip and acoustic-phonon Raman scattering in CdS nanocrystals," <i>Physical Review B</i> , Vol. 58, No. 4, 15 (July 1998-II), 2077-2087
	AC	Ekimov, A.I. <i>et al.</i> , "CdS nanocrystal growth in thin silica films: evolution of size distribution function," <i>Journal of Crystal Growth</i> 184/185 (1998) 360-364.
	AD	Ekimov, A.I. <i>et al.</i> , "Dynamics of excitons in CuBr nanocrystals: Spectral-hole burning and transient four-wave-mixing measurements," <i>Physical Review B</i> , Vol. 57, No. 3, 15 January 1998-I, 1774-1783.
	AE	Ekimov, A.I. <i>et al.</i> , "Size-selective resonant Raman scattering in CdS doped glasses," <i>Physical Review B</i> , Vol. 57, No. 1, 1 January 1998-I, 341-346.
	AF	Ekimov, A.I. <i>et al.</i> , "Growth and optical properties of semiconductor nanocrystals in a glass matrix," <i>Journal of Luminescence</i> 70 (1996) 1-20.
	AG	Ekimov, A.I. <i>et al.</i> , "Size dependence of acoustic and optical vibrational modes of CdSe nanocrystals in glasses," <i>Journal of Non-Crystalline Solids</i> 197 (1996) 238-246.
	AH	Ekimov, A.I. <i>et al.</i> , "Subpicosecond dynamics of confined excitons in CuCl nanocrystals," <i>Materials Science and Engineering A217/218</i> (1996) 167-170.
	AI	Ekimov, A.I. <i>et al.</i> , "Enhancement of electron-hole exchange interaction in CdSe nanocrystals; A quantum confinement effect," <i>Physical Review B</i> , Vol. 53, No. 3, 15 January 1996-I, 1336-1342.
	AJ	Ekimov, A.I. <i>et al.</i> , "Subpicosecond dynamics of confined excitons and optical nonlinearities of CuCl quantum dots," <i>Journal of Luminescence</i> 66 & 67 (1996) 406-409.
	AK	Ekimov, A.I. <i>et al.</i> , "Size-dependent Electron-Hole Exchange Interaction in CdSe Quantum Dots, <i>Il Nuovo Cimento</i> ," Vol. 17, Nos. 11-12, (1995) 1407-1412.
	AL	Ekimov, A.I. <i>et al.</i> , "Polaron and Exciton-Phonon Complexes in CuCl Nanocrystals," <i>Physical Review Letters</i> , Vol. 74, No. 9, 27 February 1995, p.1645.
	AM	Ekimov, A.I. <i>et al.</i> , "Growth of CdSe nanocrystals in ion-implanted SiO <sub>2</sub> films," <i>Journal of Crystal Growth</i> 151 (1995) 38-45.
✓	AN	Ekimov, A.I. <i>et al.</i> , "Effects of Resonance on Low-Frequency Raman Scattering From Semiconductor Nanocrystals," <i>Radiation Effects and Defects in Solids</i> , 1995, Vol. 137, pp-45-50.
MC	AO	Ekimov, A.I. <i>et al.</i> , "Optical Properties of Oxide Glasses Doped by Semiconductor Nanocrystals," <i>Radiation Effects and Defects in Solids</i> , 1995, Vol. 134, pp-11-22.

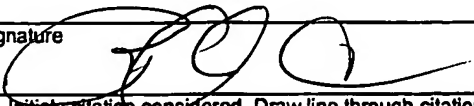
Examiner Signature 	Date Considered 12/21/05
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 14952.0274 CIP DIV	Application No. 10/632,922
Information Disclosure Statement by Applicant (Use several sheets if necessary)  (37 CFR §1.98(b))		Applicant Moungi BAWENDI, et al.	
		Filing Date August 4, 2003	Group Art Unit 1639

MCF	AP	Ekimov, A.I. <i>et al.</i> , "Enhancement of Exciton Exchange Interaction by Quantum Confinement in CdSe Nanocrystals," <i>Jpn. J. Appl. Phys.</i> , Vol. 34, 12-14 (1994).
	AQ	Ekimov, A.I. <i>et al.</i> , "Growth of CdS nanocrystals in silicate glasses and in thin SiO <sub>2</sub> films in the Initial states of the phase separation of a solid solution," <i>Semiconductors</i> , 28 (5), May 1994, 486-493.
	AR	Ekimov, A.I. <i>et al.</i> , "Interface effects on the properties of confined excitons in CuCl microcrystals," <i>Journal of Luminescence</i> 60 & 61 (1994) 396-399.
	AS	Ekimov, A. I., "Surface Recombination of Nonequilibrium Electron-Hole Plasma in Laser-Modified Semiconductor-Doped Glasses," <i>Solid State Communications</i> , Vol. 87, No. 6, 577-580 (1993).
	AT	Ekimov, A. I. "Dynamics of Nonlinear Optical Response of CuBr-Doped Glasses," <i>Superlattices and Microstructures</i> , Vol. 3, No. 2, 199-202 (1993).
	AU	Ekimov, A. I., "Absorption and intensity-dependent photoluminescence measurements on CdSe quantum dots: assignment of the first electronic transitions," <i>Journal of the Optical Society of America</i> , Vol. 10, Nos. 1-12, 100-107 (1992).
	AV	Ekimov, A.I. <i>et al.</i> "Preparation and investigation of SiO <sub>2</sub> films activated by CdS semiconductor nanocrystals," <i>Soviet Physics Semiconductors</i> , Vol. 26, 57-59 (1992).
	AW	Ekimov, A.I. <i>et al.</i> "Generation of reflected second harmonic at semiconductor quantum dots," <i>JETP Letters</i> , Vol. 55, No. 8, 435-439 (1992).
	AX	Ekimov, A.I. <i>et al.</i> "Dimensional Effects in Luminescence Spectra of Zero-Dimensional Semiconductor Structures," <i>Bulletin of the Russian Academy of Sciences</i> , Vol. 56, No. 2, pp. 154-157, February, 1992.
	AY	Ekimov, A.I. <i>et al.</i> , "Fast switching of the transmission of light by glasses activated with CdS microcrystals," <i>Sov. Phys. Semicond.</i> , Vol.25 No.2, 164-166 (1991).
	BA	Ekimov, A.I. <i>et al.</i> , "Resonance Raman Spectroscopy of Electron-Hole Pairs -- Polar Phonon Coupling in Semiconductor Quantum Microcrystals," <i>Solid State Communications</i> , Vol. 78, No. 10, pp-853-856, 1991.
	BB	Ekimov, A.I. <i>et al.</i> , "Optics of Zero Dimensional Semiconductor Systems, <i>Acta Physica Polonica A</i> ," Vol. 79 (1991), No. 1. pp. 5-14.
	BC	Ekimov, A.I. <i>et al.</i> , "Optical Properties of Semiconductor Quantum Dots in Glass Matrix," <i>Physica Scripta</i> . Vol. T39, 217-222 (1991).
	BD	Ekimov, A.I. <i>et al.</i> "Rapid Processes of Darkening and Bleaching in CdS Doped Glasses," <i>Superlattices and Microstructures</i> Vol. 10, No. 3, 307-310 (1990).
↓	BE	Ekimov, A.I. <i>et al.</i> , "Auger ionization of semiconductor quantum drops in a glass matrix," <i>Journal of Luminescence</i> 47 (1990) 113-127 North-Holland.
MS	BF	Ekimov, A.I. <i>et al.</i> , "Time-Resolved Luminescence of CdSe Microcrystals," <i>Solid State Communications</i> , Vol. 74, No. 7, pp. 555-557, 1990.

Examiner Signature 	Date Considered 12/21/05
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	

Substitute Form PTO-1449 (Modified)		U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 14952.0274 CIP DIV	Application No. 10/632,922
Information Disclosure Statement by Applicant (Use several sheets if necessary)  (37 CFR §1.98(b))			Applicant Moungi BAWENDI, et al.	
			Filing Date August 4, 2003	Group Art Unit 1639
MC	BG	Ekimov, A.I. et al., "Quantum-Size Stark Effect in Semiconductor Microcrystals," <i>Journal of Luminescence</i> 46 (1990) 97-100 North-Holland.		
	BH	Ekimov, A.I. et al., "Spectra and Decay Kinetics of Radiative Recombination in CdS Microcrystals," <i>Journal of Luminescence</i> 46 (1990) 83-95 North-Holland.		
	BI	Ekimov, A.I. et al., "Influence of high hydrostatic pressures on the exciton spectrum of CdS microcrystals in glass," <i>Sov. Phys. Semicond.</i> 23(9), September 1989, pp. 965-66.		
	BJ	Ekimov, A.I. et al., "Photoluminescence of quasizero-dimensional semiconductor structures," <i>Sov. Phys. Solid State</i> 31(8), August 1989, pp. 1385-93.		
	BK	Ekimov, A.I. et al., "Photoionization of semiconducting microcrystals in glass," <i>Sov. Phys. Solid State</i> 31(1), January 1989, pp. 149-151.		
	BL	Ekimov, A.I. et al., "Donor-like Exciton in Zero-Dimension Semiconductor Structures," <i>Solid State Communications</i> , Vol. 69, No. 5, pp. 565-568, 1989.		
	BM	Ekimov, A.I. et al., "Nonlinear Optics of Semiconductor-Doped Glasses," <i>Phys. Stat. Sol. (b)</i> 150, (1988) pp. 627-633.		
	BN	Ekimov, A.I. et al., "Nonlinear optical properties of semiconductor microcrystals," <i>JETP Lett.</i> , Vol. 46, No. 10, 25 November 1987 pp. 435-439.		
	BO	Ekimov, A.I. et al., "Quantization of the energy spectrum of holes in the adiabatic potential of the electron," <i>JETP Lett.</i> , Vol. 43, No. 6, 25 March 1986, pp. 376-379.		
	BP	Ekimov, A.I. et al., "Quantum Size Effect in Semiconductor Microcrystals," <i>Solid State Communications</i> , Vol. 56, No. 11, pp. 921-924, 1985.		
	BQ	Ekimov, A.I. et al., "Size quantization of the electron energy spectrum in a microscopic semiconductor crystal," <i>JETP Lett.</i> , Vol. 40, No. 8, 25 October 1984, pp. 1136-1139.		
	BR	Ekimov, A.I. et al., "Quantum size effect in the optical spectra of semiconductor microcrystals," <i>Sov. Phys. Semicond.</i> 16(7), July 1982, pp. 775-778.		
✓	BS	Ekimov, A.I. et al., "Quantum size effect in three-dimensional microscopic semiconductor crystals," <i>JETP Lett.</i> , Vol. 34, No. 6, 20 September 1981, pp. 345-349.		
MC	BT	Ekimov, A.I. et al., "Oscillations of polarization of recombination radiation of a variable gap semiconductor in a magnetic field," <i>JETP Lett.</i> , Vol. 25 No. 55, 526-528 (1977).		

Examiner Signature 	Date Considered 12/21/05
EXAMINER: Initial citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	